

Army Programs

Functional Area Assessment

Headquarters
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SUMMARY of CHANGE

AR 11-40

Functional Area Assessment

This revision--

- o Has been extensively updated to include the policy concerning FAA milestones.
- o Functional areas for assessment have been expanded and funding of FAA expenses clarified.

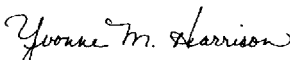
Army Programs

Functional Area Assessment

By Order of the Secretary of the Army:

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History. This is a revision of Army Regulation AR 11-40, dated 11 September 1986. Based on extensive publication revisions, the changed portions are not highlighted.

Summary. This regulation prescribes objectives, procedures, and responsibilities for the

implementation of a functional area assessment.

Applicability. This regulation applies to the Active Army, the Army National Guard, and the U.S. Army Reserve.

Proponent and exception authority. The proponent for this regulation is the Deputy Chief of Staff for Operations and Plans (DCSOPS). The proponent has the authority to approve exceptions to this regulation that are consistent with controlling law and regulations. The DCSOPS may delegate this authority, in writing, to a division chief under his or her supervision within the proponent agency who holds the grade of colonel or the civilian equivalent.

Army management control process. According to AR 11-2, this regulation does not contain management control provisions.

Supplementation. Supplementation of this regulation is prohibited without prior approval from HQDA (DAMO-FDF), 400

ARMY PENTAGON WASH DC 20310-0400.

Interim changes. Interim changes to this regulation are not official unless authenticated by the Administrative Assistant to the Secretary of the Army. Users will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA (DAMO-FDF), 400 ARMY PENTAGON WASH DC 20310-0400.

Distribution. Distribution of this publication is made in accordance with the requirements on DA Form 12-09-E, block number 2029. The publication is intended for command levels C, D, and E for Active Army, Army National Guard (ARNG), and United States Army Reserve (USAR).

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*This regulation supersedes AR 11-40, dated 11 September 1986.

RESERVED

1. Purpose

This regulation prescribes policy and procedures and assigns responsibilities for functional area assessments (FAA). Historically, FAAs have served as intensive management forums. FAAs allow senior Army leaders to identify and resolve issues which affect the execution of Headquarters (HQ), Department of the Army (DA) short range plans and programs. FAAs also provide a teaching mechanism and forum for the horizontal and vertical exchange of information between the DA and major Army command (MACOM) participants, focusing primarily on the Army's ability to maintain readiness, force capability, and force modernization in the program objective memorandum (POM) years.

2. References

This regulation contains no external references.

3. Explanation of abbreviations and terms

The glossary contains explanations of abbreviations and special terms used in this regulation.

4. Responsibilities

a. The Assistant Secretary of the Army (Manpower and Reserve Affairs) (ASA(M&RA)) provides force structure, personnel, and manpower policy guidance.

b. The DCSOPS is the executive agent for the FAA process. The Force Development Directorate (HQDA (DAMO-FD)) assures the consistency and integration of the entire FAA process to include the management of issue resolution. The Division Chief, Force Integration and Management Division (DAMO-FDF)—

- (1) Serves as the HQDA point of contact.
 - (2) Develops and publishes the FAA schedule in coordination with TRADOC, other MACOMs, and functional proponents.
 - (3) Coordinates all actions regarding FAA policy and procedures.
 - (4) Monitors development of FAA briefings for consistency and content in accordance with guidance.
 - (5) Monitors suspenses and tracks actions and issues for completion.
 - (6) Manages the FAA for the entire period of the process as defined by the milestones in paragraph 9.
- c. For branch FAAs, Army Staff (ARSTAF) organization integrator (OI) or force integrator (FI)—
- (1) Issues FAA guidance on force structure and appropriate databases.
 - (2) Schedules all briefings and required facilities.
 - (3) Monitors preparation of FAA VCSA briefing for consistency.
 - (4) Identifies/verifies issues and concerns and establishes agency or command actions and milestones for resolution based on the FAA briefing, coordination with FAA participants, and guidance from the VCSA.
 - (5) Identifies a lead agency responsible to the issue proponent for accomplishment of each action.
 - (6) Monitors suspenses and tracks actions and issues for completion.

d. Heads of HQDA agencies will—

- (1) Support and participate in FAAs by presenting coordinated information concerning their assigned responsibilities and identifying issues.
- (2) Resolve issues and accomplish actions assigned during the FAA process.

e. TRADOC school commandants will function as the proponents for their respective branch FAA categories, except as indicated in f and g below.

f. The Commanding General (CG), Army Medical Department Center and School (AMEDDC&S) is the proponent for the medical FAA.

g. The CG, U.S. Army Combined Arms Support Command (USACASCOM) is responsible for integrating the individual presentations covering the general category of personnel service support (PSS) (Adjutant General (AG), Finance, Chaplain, Public Affairs,

and Judge Advocate (JA)) into a single FAA briefing. Proponents for portions of the PSS FAA are as follow:

(1) The Commandant of the AG School and the Commandant of the Finance School, under the direction of the Commander, Soldier Support Institute, are responsible for Personnel and Finance portions of the PSS FAA, respectively.

(2) The Chief of Public Affairs is responsible for the Public Affairs portion of the PSS FAA.

(3) The Chief of Chaplains is responsible for the Chaplain portion of the PSS FAA.

(4) The Judge Advocate General (TJAG) is responsible for the JA portion of the PSS FAA.

h. FAA proponents and sponsors, as applicable, will—

(1) Develop a detailed outline of subjects to be covered in any assigned management FAAs, coordinate it with HQDA staff agencies and MACOMs, and ensure approval by DAMO-FDF.

(2) Ensure all information to be presented in the FAA is integrated into a single, coordinated briefing.

(3) Present coordinated information at the FAA concerning their assigned responsibilities, identify issues, and recommend those actions required to solve the issues.

(4) Resolve issues and accomplish actions assigned during the FAA process.

(5) Review each FAA issue for security classification on an individual basis. Compilation alone will not be used to classify sets of issues except as approved by the Deputy Chief of Staff for Intelligence (DCSINT).

5. Objectives

Objectives of FAAs are to—

a. Ensure the Army's force integration efforts are accomplished with minimum adverse impact on:

- (1) Readiness.
- (2) Modernization.
- (3) Personnel and training.
- (4) Materiel distribution and redistribution.
- (5) Application of doctrine.
- (6) Total Force (Active component (AC)/Reserve Components (RC)) integration.
- (7) Base operations.
- (8) Quality of life.
- (9) Execution of functions in United States Code Title 10.

b. Identify systemic issues that may preclude or inhibit the smooth transition to a modernized force.

c. Resolve issues at the lowest level.

6. Policy

a. FAAs allow the Army leadership to examine the impacts of modernizing the Army through the POM years. FAAs focus primarily on the Army's ability to maintain readiness and force capability and execute force management and modernization in the restructure years. Particular focus is on the execution year, the budget year, and the first POM year. FAAs strive to affirm that the Army can fully support all aspects of programmed transitions. The governing FAA goal is to ensure that as the Army evolves into the restructured force, each functional area has a coordinated, cost-effective transition plan. There are two types of FAAs—

(1) Branch FAAs are reviews of a functional branch of the Total Army, such as Field Artillery or Infantry, scheduled on a recurring biennial cycle.

(2) Management FAAs are one-time reviews of specific functions or management areas, such as Army force management or depot maintenance, scheduled as directed by the Chief of Staff, U.S. Army (CSA) or Vice Chief of Staff, U.S. Army (VCSA). Title 10 FAAs are special types of management FAAs and will be conducted in accordance with separately published letters of instruction.

b. The FAA process culminates in a formal briefing to the VCSA. The briefing is normally given by the appropriate U.S. Army Training and Doctrine Command (TRADOC) commander, school commandant, or other functional proponent and attended by

HQDA staff. MACOM commanders are invited to attend and participate.

c. HQDA ODCSOPS schedules FAAs in coordination with the functional proponents, sponsors, and MACOMs.

d. Mini-FAAs may be conducted to address special cases when issues cannot wait for the normal FAA process to occur. A mini-FAA is a modified FAA for a functional proponent. HQDA ODCSOPS schedules mini-FAAs in coordination with the HQDA Staff, functional proponents and MACOMs. The format and extent of senior Army leadership involvement in a mini-FAA will be established on a case-by-case basis.

7. FAA briefing format

Briefing format for branch FAAs is as follows—

a. Purpose—brief statement of the reason(s) for convening the FAA.

b. Guidance—review of guidance provided to the proponent prior to the briefing.

c. Objectives.

d. Functional area overview—overall health of the functional area.

e. Executability analysis.

(1) Doctrine—current and future. Status of doctrine update.

(2) Training—strategy and future changes. Training devices, new equipment training (NET) or other training issues.

(3) Leader development—outline leadership development program.

(4) Organizations—current, proposed, and future force structure.

(5) Materiel—review of materiel modernization. Include status of equipment availability, funding status, distribution, support, and facilities.

(6) Soldiers—personnel status. Include Office of the Deputy Chief of Staff for Personnel (ODCSPEP)-sponsored functional review (FR) issue results/status.

8. Initiation of the FAA Process

Approximately 5–6 months prior to the scheduled VCSA briefing, HQDA (DAMO–FD) will announce the FAA, designate planning milestones, provide guidance on issue description and format, and clarify administrative matters to ensure an orderly FAA.

a. For branch FAAs, the announcement will include any additions, deletions, or modifications to the FAA briefing format in paragraph 7.

b. For management area FAAs, the announcement will designate a proponent or proponents and provide a draft outline of the required briefing format.

9. Milestones

The milestones (decision points) at table 1 comprise the FAA sequence.

Table 1
Milestones for the FAA process

Time: F–21 Weeks

Action: Formally announce FAA scope, proponent, and calendar events.

Responsible agencies: HQDA(DAMO–FD)

Time: F–18 Weeks

Action: Initial action officer meeting (teleconference preferred)

Responsible agencies: HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved.

Time: F–15 weeks

Action: Action officer in process review (IPR) to review progress of FAA development.

Responsible agencies: HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs and proponents involved.

Time: F–6 Weeks

Action: Council of colonels: Colonel-level representatives review FAA development progress.

Table 1

Milestones for the FAA process—Continued

Responsible agencies: HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved.

Time: F–3 weeks

Action: General Officer Steering Committee (GOSC): General officer or civilian equivalent review of FAA development progress and VCSA FAA pre-brief.

Responsible agencies: HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved.

Time: F–1 Week

Action: Pre-brief to VCSA

Responsible agencies: HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved.

Time: F

Action: FAA presentation chaired by VCSA

Responsible agencies: HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved.

Time: F + 16 Weeks

Action: IPR 1 issues and actions (as required)

Responsible agencies: HQDA (DAMO–FD) plus representatives of HQDA Staff, MACOMs, and proponents involved; follow-up IPRs as required.

10. Issue identification and resolution

a. Prior to starting the FAA, other studies and analyses (that is, total Army analysis (TAA), FRs) should be reviewed by the proponent for possible systemic issues that may preclude or inhibit the smooth implementation of plans and programs.

b. Issues are identified throughout the FAA preparation process. HQDA (DAMO–FD) coordinates issues at each step in the process to ensure completeness, accuracy, consistency, and appropriate taskings. Issues, required corrective actions, and responsible agencies are briefed during the conduct of the FAA. Additional issues may be identified during the FAA briefing to the VCSA.

c. Within 15 days after the FAA briefing to the VCSA, HQDA (DAMO–FD) will forward an overview message to the participants providing key items of interest, short suspense items, and tasked action agencies. Within 30 days following the overview message, HQDA (DAMO–FD) will forward a complete listing of issues and required corrective actions to the appropriate MACOMs and agencies.

d. HQDA (DAMO–FD) will establish reports and conduct reviews, as appropriate, to assess the adequacy of corrective actions taken to resolve issues.

11. Established branches and functional areas

a. FAAs for functional branches of the Army (shown below) will be conducted approximately every 2 years.

- (1) Armor.
- (2) Infantry.
- (3) Field Artillery.
- (4) Aviation (less Special Operations Forces (SOF) aviation).
- (5) Engineer.
- (6) Military Intelligence.
- (7) Air Defense Artillery.
- (8) Signal Corps.
- (9) Chemical.
- (10) Adjutant General.
- (11) Finance.
- (12) Chaplain.
- (13) Public Affairs.
- (14) Judge Advocate General.
- (15) Military Police.
- (16) Quartermaster.
- (17) Transportation.
- (18) Ordnance.

(19) SOF (Special Forces, Psychological Operations, Civil Affairs, Ranger, and SOF aviation).

(20) Medical.

b. Functional areas (10) through (14) above will be assessed during a single FAA briefing (under the general category of PSS).

c. Management FAAs will be conducted as designated by the CSA or VCSA. There is no standing list of management categories.

d. Requests for additions or deletions of the established list of branches and functional areas to be assessed biennially will be submitted with justification to HQDA (DAMO-FDF), 400 ARMY PENTAGON WASH DC 20310-0400, for approval by the VCSA.

12. Funding

MACOMs and HQDA Staff will fund their participation in FAAs from their operating budgets.

Appendix A References

Section I Required Publications

This section contains no entries.

Section II Related Publications

This section contains no entries.

Section III Prescribed Forms

This section contains no entries.

Section IV Referenced Forms

This section contains no entries.

Glossary

Section I Abbreviations

AC
Active Component

AG
Adjutant General

AMC
United States Army Materiel Command

AR
Army regulation

ARNG
Army National Guard

ARSTAF
Army Staff

CG
Commanding General

CSA
Chief of Staff, United States Army

DA
Department of the Army

DCSOPS
Deputy Chief of Staff for Operations and Plans

DOD
Department of Defense

FOA
field operating agency

HQ
headquarters

IPR
in process review

JA
judge advocate

MACOM
major Army command

NET
new equipment training

ODCSOPS
Office of the Deputy Chief of Staff for Operations and Plans

ODCSPER
Office of the Deputy Chief of Staff for Personnel

POM
program objective memorandum

RC
Reserve Component

SRC
standard requirement code

TAA
total Army analysis

TJAG
The Judge Advocate General

TRADOC
United States Army Training and Doctrine Command

USAR
United States Army Reserve

VCSA
Vice Chief of Staff, United States Army

Section II Terms

Branch FAA
Review of a functional branch of the Army, such as Field Artillery or Infantry, scheduled on a recurring biennial cycle.

Force integration
The management process that enables the introduction, incorporation and sustainment of organizational, doctrinal, and materiel change.

Force integrator
Member of the organization management structure responsible for representation of interests of functionally dissimilar organizations grouped into brigades, regiments, groups, divisions, and corps. The force integrator is assigned to ODCSOPS (DAMO-FDF) and serves as a member of a HQDA OI team.

Force modernization
The improvement of force capability through force integration.

Functional area assessment
A method for integrating the efforts of the HQDA Staff, TRADOC, United States Army Materiel Command (AMC), and other MACOMs to identify discontinuities in Army plans and review action plans that will assure success of Army force integration.

Issues
Problems that complicate or frustrate timely and efficient execution of force modernization plans or programs. Minor issues are usually resolved during the FAA process. The more substantial issues and their implications are briefed to the VCSA. Issue statements are clear, concise, and accurate descriptions of the situations requiring actions to effect resolutions. They are descriptive enough to avoid requiring reference to other materials.

Management area FAA
A one-time review of a specific function or

management area, such as Army force management or depot maintenance, scheduled as directed by the CSA or VCSA.

Organization integration team

The HQDA (ODCSOPS-FD) team assigned the mission of developing, documenting, recommending resourcing, fielding, managing sustainment, and monitoring data accuracy and reports for all items associated with one or more standard requirements code (SRCs).

Organization integrator

Member of the management structure responsible for representation of interests of functionally similar organizations. The organization integrator is assigned to ODCSOPS and serves as a member of a HQDA OI team.

Title 10 function

Those functions for which the Army is responsible under Title 10, United States Code, other statutes, Department of defense (DOD) directives or instructions or uniquely Army culture/policy and performed as part of the Army's institution other than the branches of the TOE force.

Section III Special Abbreviations and Terms

AMEDDC&S
Army Medical Department Center and School

DCSINT
Deputy Chief of Staff for Intelligence

FAA
functional area assessment

FI
force integrator

FR
functional review

GOSC
General Officer Steering Committee

OI
organization integrator

PSS
personnel service support

SOF
Special Operations Forces

USACASCOM
United States Army Combined Arms Support Command

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This section contains no entries.

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